



# Self-Administered Services Support Book

---

*Division of Services for People with Disabilities*

TABLE OF CONTENTS	Page Number
Section 1: Program Overview .....	2
Introduction to Self-Administered Services (SAS)	
Definition of Terms	
Choosing Appropriate Services	
Service Option Descriptions	
Service Options for Self-Administered Services	
Self-Administered Service Agreement	
Section 2: Roles and Responsibilities .....	10
Support Coordinator Responsibilities	
Fiscal Agent Responsibilities	
Employee Responsibilities	
Employer Responsibilities	
Background Screening	
Incident Reporting	
Time Sheets	
Time Line for Payroll	
Service Specific Training for DTP	
Employee Rate Information	
Termination of Employment	
SAS Compliance Review	
Document Check List	
Record Keeping	
Section 3: Medicaid Waiver Services.....	27
Administrative Rule and Waiver Information	
Avoiding Fraud and Misuse of Funds	
Staff Limitations	
Section 4: SAS Forms and Links.....	30
Additional Support and Resources	
Frequently Asked Questions	

# Section 1: Program Overview

## Introduction to Self-Administered Services

Self-Administered Services (SAS) offers an alternative to Agency-Based Provider Services by allowing people with disabilities and their families to select services that are provided within their home. People with disabilities and their families are able to hire, train, and supervise the Employee/s providing the support to the person. They also assure that the services stay within the person's allocated budget.

The Division of Services for People with Disabilities (DSPD) allocates an annual budget that obtains authorized supports for the person receiving funding. The funding is provided through DSPD as outlined in the state of Utah's Home and Community Based Services Waiver (Medicaid 1915C). Medicaid waivers allow a person who qualifies for services in a nursing home or intermediate care facility for people with intellectual disabilities (ICFID), to receive support services in their own home and community. Medicaid waivers are designed to:

- Promote access, inclusion, and the development of valued social roles for people with disabilities in their local communities.
- Provide support, so that adults with disabilities can live safely in the neighborhoods they choose.
- Provide assistance, so that children with disabilities can live with their families.
- Improve the independence of people with disabilities.
- Promote cost savings over an ICFID alternative.

The Community Supports Waiver (CSW) serves people with a diagnosis of Intellectual Disabilities or related conditions. The Acquired Brain Injury Waiver (ABI) serves adults with an injury that occurs to the brain after birth.

Program Funds are only disbursed to pay for services that are outlined in the Person Centered Supports Plan (PCSP) and only after the services are performed. All SAS payments are made directly to the person performing the services (the Employee) through a Fiscal Agent under contract with DSPD.

If you use SAS, you will be required to use a Fiscal Agent. The Fiscal Agent will provide financial services for the person, or the person's designated representative, including: (a) verifying the qualifications of the worker, (b) federal, state, and local tax withholding/payments, budget status reports, and (c) processing the Medicaid paperwork and paying the Employees.

The Support Coordinator monitors the budget and ensures that the services are part of the Person Centered Support Plan. If there are any concerns that arise, the Support Coordinator contacts the person receiving services, or their representative, to resolve the issues. Self-Administered Services are a part of DSPD's goal to allow the maximum amount of independence and choice in the lives of the people we serve.

# DEFINITION OF TERMS

**Agency-Based Provider:** Any company that contracts with DSPD to deliver planned supports to people with disabilities.

**Direct Services:** Services delivered by an Employee in the physical presence of the person.

**DSPD:** Division of Services for People with Disabilities. DSPD is the state agency responsible for administration of state and federal funding for people with disabilities.

**Employer:** The person receiving DSPD services, or their representative. This person takes on the responsibility of hiring, training, supervising, and preparing payroll for Employees contracted to perform services.

**Employee:** Any individual hired to provide services to a person receiving Self-Administered Services.

**Financial Fraud:** A willful or neglectful misuse of funds made available to provide a person's support. For example: reporting duplicated time claims, submitting claims for work not provided, or requiring a worker to return a portion of their wages to the employer.

**Fiscal Agent:** An individual or entity contracted by DSPD to perform fiscal, legal, and management duties, including payroll processing duties for Self-Administered Services. If you use Self-Administered Services, you will be required to process payroll through a Fiscal Agent.

**Home and Community-Based Waiver:** An approval from Medicaid to allow states to "waive" certain requirements in order to use Medicaid funds for an array of home and community-based services as an alternative to institutional care.

**Medicaid Financial Eligibility Change:** The Person receiving DSPD services or their representative is responsible for maintaining financial eligibility documentation with Department of Workforce Services (DWS) and for reporting variances as they occur. For example: monthly spend down, inpatient status of person, or changes in location such as out-of-state.

**Monthly Summary:** A formal report on the services used by the person given to the Support Coordinator at the end of each month.

**Person-Centered Support Plan (PCSP):** A plan developed from an assessment, and a process designed to focus on a person's individual desires. The PCSP should include but is not limited to: preferences, strengths, interests, goals, relationships, health and safety issues, and any matters that determine appropriate support for a meaningful life.

**Person-Centered Budget:** State and Federal Medicaid funds that are allocated to the person being served through DSPD to obtain appropriate supports authorized under the waiver.

**Rates:** The amount that DSPD pays to a SAS worker for hourly or daily services/supports for a person. The rate includes both the direct wage of the SAS worker, and the employer's (person directing SAS) portion of taxes. Employers must pay a rate between Federal minimum wage and the maximum Medicaid rate allowed as noted on the Fiscal Agent pay schedule. The employer can choose the amount of support received by adjusting the direct rate that is paid to the Employees providing services. Rates can be changed as needed by the employer.

**Self-Administered Services (SAS):** A service option for people receiving DSPD funds that allows a person to hire, train, and supervise Employees to provide their supports, and manage their allowed budget.

**Service Specific Training:** A document that contains important information to know about the individual/s. This may include but is not limited to: medical needs, physical needs, dietary needs, and what is needed to implement the Support Strategies.

**Support Coordinator:** A person contracted with DSPD to provide assistance in developing needed services and support to a person receiving DSPD funding. The Support Coordinator also monitors the use of the services and the Person-Centered Budget. Support Coordinators are primarily "*external*" meaning they are private contractors and not an Employee of DSPD. The person, or person's representative, hires the Support Coordinator of their choice. On occasions such as entering services, or in situations where an external support coordinator is not available, a state support coordinator (an Employee of DSPD) will provide supports under the same standards as an external support coordinator.

**Support Strategies:** Steps followed by the SAS Employee to support the person in achieving goals identified in the Person-Centered Support Plan. These are the items reported on the SAS worker's time card in the comment section.

# CHOOSING APPROPRIATE SERVICES

Support Coordinators provide ongoing support to ensure that the needs of the person receiving services are appropriately identified, and that services selected from an Agency-Based Provider and/or Self- Administered Services match the person's needs.

**Agency-Based Provider Services** are offered through private companies that contract with the DSPD. When using these services, the person, or person's representative, chooses an agency that will meet their specific needs. It is the responsibility of the provider agency to supervise, hire, and assure that the qualifications of the Employee providing the services are met.

**Self-Administered Services** provides an alternative to traditional Agency-Based Provider services by allowing the person or the person's representative (often, a family member) to directly hire Employees to meet specific identified service needs. Most of the time Self-Administered supports are provided in the person's home. Self-Administered Services are available to all who are capable of administering the program, and for those who wish to hire their own Employees. The person or the person's representative is responsible to, hire, train, supervise and schedule Employees, and to approve Employee timesheets. Individuals must work with their Fiscal Agent and Support Coordinator to meet DSPD and Medicaid requirements.

**Services Used in Combination.** Needs vary widely and may require a combination of services; for example, an individual may need respite, personal assistance and a ramp to enable accessibility. A person or person's representative can obtain respite and personal assistance through Self-Administered Services or through an Agency-Based provider, or a combination of both. Support Coordinators will offer assistance with non-service needs, (such as ramps) through other available resources.

# SERVICE OPTION DESCRIPTIONS

## Self-Administered and Agency-Based Services Options

**Financial Management Services/Fiscal Agents:** A requirement under Self-Administered Services. Fiscal Agents: (a) process payroll for Employees including federal, state, and local tax withholding/payments, unemployment compensation fees, wage settlements, fiscal accounting reports, (b) complete tax forms and (c) provide monthly accounting of budgets.

Agency Based only

**Family Training and Preparation:** Includes short-term support to help families understand their role as an employer and to gain skills to use the self-administered service options.

Self-Administered  
or Agency Based

**Chore and Homemaker Supports:** **Chore** supports are typically routine and may include: heavy household chores such as washing floors, windows and walls, snow removal, lawn care, and moving heavy items of furniture in order to provide safe access. **Homemaker** supports are typically routine and may include meal preparation, laundry, shopping, light housekeeping, and routine household care.

Self-Administered  
or Agency Based

**Companion Services:** Includes non-medical personal assistance, supervision, and socialization. Companions may assist the individual with meal preparation, laundry, shopping and incidental housekeeping tasks.

Self-Administered  
or Agency Based

**Personal Assistance:** Includes assistance with medical and non-medical activities of daily life such as supporting basic healthcare needs, bathing, toileting, dressing, grooming, eating, accessing the community, and incidental housekeeping and chore activities.

Self-Administered  
or Agency Based

**Respite Care Supports:** Include short-term relief from normal care giving. Respite care provides supervision in the family's home, an Employee's home, an overnight camp, a summer program, or an agency-based facility. Respite Care Supports are available as a single or group service.

Self-Administered  
or Agency Based



<p><b>Supported Living:</b> Includes supervision and training in Self-administered Services at the patient's home or in the community. Supported Living combines personal assistance, routine transportation, and chore and homemaker services. Personal assistance, routine transportation, and chore and homemaker services cannot be used when Supported Living is being used.</p>	Self-Administered or Agency Based
<p><b>Transportation Support:</b> Provides mileage reimbursement for Employees to support family member's access to the community.</p>	Self-Administered or Agency Based
<p><b>Day Support:</b> Provides a safe structured setting where people learn skills to participate in, and contribute to their community.</p>	Agency Based only
<p><b>Environmental Accessibility Adaptations:</b> Provide equipment (home or vehicle modifications) needed to assure a person's health &amp; safety.</p>	Agency Based only
<p><b>Extended Living Supports:</b> Provide a temporary replacement service for someone who receives residential services and is sick or on a break from school or day services.</p>	Agency Based only
<p><b>Massage Therapy:</b> Available to individuals with a clearly defined medical need for muscular stress reduction and tension relief.</p>	Agency Based only
<p><b>Personal Budget Assistance:</b> Includes assistance to the person with paying bills, writing checks, and balancing a checkbook.</p>	Agency Based only
<p><b>Personal Emergency Response Systems:</b> Provides devices that enable individuals to live independently, or with minimal support to summon assistance in an emergency. Examples of this include but are not limited to pill dispensers and HELP call buttons.</p>	Agency Based only
<p><b>Professional Medication Monitoring:</b> Services provided by a nurse to assess the health and safety of medications, ensure that medications are administered as prescribed, and to provide follow-up care.</p>	Agency Based only

<p><b>Residential Habilitation:</b> A daily residential support for people whose needs can't be met in the family home.</p>	Agency Based only
<p><b>Specialized Medical Equipment:</b> Supplies and Assistive Technology that enable a person to increase his or her ability to perform activities of daily living and to gain greater independence.</p>	Agency Based only
<p><b>Support Coordination:</b> a required service that assures the person in services receives needed supports, and meets state and federal service requirements</p>	DSPD and Agency Based only
<p><b>Supported Employment:</b> provides help to find and maintain full or part time competitive employment in an integrative setting</p>	Agency Based only

# SERVICE OPTIONS FOR SELF-ADMINISTERED SERVICES

This section outlines the various Medicaid waivers offered through DSPD. Under each definition, a list of services specific to each waiver is provided. Agency-based services may be used in combination with Self-Administered Services, but each must be accounted for separately in the budget. All services are based on the assessed needs of the individual. The Support Coordinator can help to explain what each of these services represents.

**Community Supports Waiver (CSW)** serves people with a diagnosis of Intellectual Disabilities or related conditions.

## **Service Options for Self-Administered Services**

	<b><u>Code</u></b>
Financial Management Services	FMS
Chore Services	CH1
Homemaker Service	HS1
Companion Services	CO1
Personal Assistance Service	PA1
Family Training and Preparation	TF1
Supported Living	SL1
Respite	RP1, RP6
Respite-Group	RP7, RP8
Transportation Services	DTP

**Acquired Brain Injury Waiver (ABI)** serves people with an injury that occurs to the brain after birth.

## **Service Options for Self-Administered Services**

	<b><u>Code</u></b>
Chore Services	CH1
Homemaker Services	HS1
Respite	RP1
Supported Living Services	SL1
Transportation Services	DTP

# Self-Administered Service Agreement

A Self-Administered Service agreement (SAS agreement) is a binding contract with DSPD that allows for the self-administration of services. The service agreement is completed for the first time when initiating services, and annually thereafter. It is traditionally completed during the person centered planning meeting. The service agreement should be kept with other records and be available for review upon the request of the Support Coordinator or DSPD.

Regular communication with Support Coordinators helps to identify service needs for the person and their family members. Services can be canceled or changed to an Agency-Based Provider model by either the person/person's representative or DSPD.

The person or person's designated representative is considered the SAS program Employer of Record. The SAS program Employer of Record agrees to be responsible for all SAS activity and record keeping, as well as assurances of compliance.

Links to the agreements for the Community Supports Waiver and the Acquired Brain Injury Waiver are found in Section 4 Forms and Links. You can also access the SAS agreements online. Self-Administered Services agreements are listed as:

- 2-9EA Employee Employment Agreement.
- 2-9SA Employer Service Agreement
- 2-9C Employee Application for Certification
- 2-9T Notice of FMS Transfer or Termination

## SECTION TWO: ROLES AND RESPONSIBILITIES

### Support Coordinator Responsibilities

The overall responsibility of the support coordinator is to:

- Explain and identify service options.
- Coordinate the initial and annual Person Centered Supports Plan (PCSP) meeting. During the meeting, goals and interests of the person are identified in order to support independence, and enhance self-determination.
- Assist with PCSP annual budget allocation. Support coordinators will monitor both the spending and the remaining budget for the plan year. This includes all prescribed services for each of the persons and families they serve.
- Monitor services by conducting face-to-face visits with the person served no less frequently than every ninety (90) days.
- Monitor documentation by assisting in the initial as well as annual documentation requirements.
- Complete and submit to DSPD annual SAS audit forms for each person served.
- Provides basic support towards understanding SAS services. This will be a combined effort with the Fiscal Agent.
- Post to DSPD USTEPS log notes on visitation outcomes and various correspondences such as provider/employer monthly service summaries, Form 1-8 Incident Reports and follow up activity, and medical reports, etc.

# FISCAL AGENT RESPONSIBILITIES

The Fiscal Agent oversees the financial responsibilities of SAS.

Their responsibility is to:

- Provide a document packet to the person containing various DSPD and Employer forms. These forms should include but are not limited to: Fiscal Agent Appointment, Employer FEIN SS-4, Employee forms (including: W4, I-9, BCI form), Employee Certification Form 2-9C, Employee Agreement Form 2-9 EA, time card(s) required for services and instructions on how to complete the forms. Links to some of these forms are provided under Section 4 Forms and Links.
- Ensure required payroll paperwork is received and remains current prior to paying Employees.
- Send paychecks directly to Employees, withholding all required taxes; issue an annual W-2 income and tax summary for each Employee.
- Follow set pay periods; payments occur at least two times per month.
- Make payments for services identified in the Employee agreement, and per employer, and Employee approved (signed) time cards.
- Monitor and maintain current records.
- Ensure time cards reflect worker shift as a.m. or p.m., and do not include duplicated or overlapping periods.
- Ensure time cards have proper authorization signatures, and have been submitted on time.
- Send a monthly report showing employer payments and budget balance.
- Decline payments to Employees who do not pass a background check. Discontinue payments to Employees who do not renew their background check before it expires. *Please note on some occasions it may take several weeks for notification of a completed background check.*
- Maintain a customer service call center.

## LIMITATIONS

The Fiscal Agent cannot:

- Make payments outside of the set pay schedule or without the DHS/DSPD Service Authorization Form 1056 generated by the support coordinator to authorize payment.
- Make payments without a completed background screening on potential Employees and annually on on-going Employees.
- Provide workers compensation insurance.

\* As an employer you may choose to offer those you employ health life or workers compensation insurance at your own expense. The Fiscal Agent will deduct these premiums at your request.

# EMPLOYEE RESPONSIBILITIES

Employees provide direct care to the person receiving services. Employee responsibilities include but are not limited to:

- Complete all required training (documented on Form 2-9C) prior to working with the person unsupervised.
- Be familiar with the [Service Definitions](#) and [Specific Training form](#), and know where a copy is located.
- Be familiar with the [Supports Strategies](#) and know where a copy is located.
- Be familiar with the emergency contact and information form, and know where a copy is located.
- Provide supports outlined in the [Support Strategies](#).
- Keep any data, logs, or required information. Keep comments on timesheets current.
- Follow the Code of Conduct. Annually review the Code of Conduct and sign the signature page.
- Complete payroll forms, timesheets, comment sections, and follow pay periods and submission timelines.
- Fill out a [Background Screening Application](#) on an annual basis and ensure it is submitted to the Fiscal Agent in a timely manner. This ensures continuous approved background check status.
- Follow all incident reporting requirements including immediate notice and completion of [Form 1-8](#). Know where incident report forms are located.
- Share important information to develop future goals and services.



The following forms need to be completed in order for reimbursement of direct care services to occur. These forms also confirm all Medicaid requirements have been met. The Fiscal Agent is required to have the following:

- [W-4](#) Employees Withholding Allowance Certificate
- [I-9 Employee Eligibility Verification Form](#) (there are two sections that need to be completed by you and your employer). Include copies of 2 forms of ID. See reverse side of I-9 for the list of accepted documentation and further instructions.
- [A Form 2-9EA Employment Agreement](#)
- [Background Screening Application](#)  
The Employee's social security card and identification such as a current driver's license will need to be copied and attached to the background screening application processed by the DHS Office of Licensing. The employer will need to see the originals and keep a copy of the Employee's social security card and identification to fill out the I-9 form.

**To meet Medicaid Requirements, the following forms need to be completed.**

- A form 2-9C Employee Certification provided in the Fiscal Agent packet also available online, and under Section 4 Links. Complete all areas identified and indicate knowledge of Requirements for Certification by signing and dating each area completed.
- A [Department Code of Conduct](#) and any [Division Code of Conduct](#). Read completely and sign the signature sheet.

# EMPLOYER RESPONSIBILITIES

The person receiving services, or their representative, becomes the Employer when using SAS. This person's responsibility is to:

- Sign and annually update the Self-Administered Services Agreement Form 2-9SA.
- Select a Fiscal Agent, and inform both the Support Coordinator and the Fiscal Agent of any updates or changes to Employee status for all hires or released workers.
- Develop and maintain Support Strategies.
- A [Support Strategy](#) is an annual requirement that identifies the steps to reach a goal that has been decided by the individual receiving services and their support team. You may work with your support coordinator to develop support strategies. Support strategies are due to your support coordinator within 30 days of the Person Centered Planning meeting.
- Ensure that Employees understand, and are familiar with, the Support Strategies, and know where they are located.
- Develop and update the [Service Specific Training](#) page.
- Ensure that Employees understand and are familiar with the Service Specific Training and know where a copy is located.
- Develop and update the emergency contact and information form.
- Ensure that Employees understand, and are familiar with, the emergency contact and information form, and know where it is located.
- Maintain Employee personnel and training records for six years.
- Ensure Employees meet DSPD training requirements.
- Ensure Employees are 16 years of age or older, and complete the Employment Agreement Form. For overnight or transportation services the age requirement is 18 and over. If Employee is 16 or older, but under the age of 18, a parent/guardian signature is required on the Employment Agreement form.
- Submit [Monthly Summaries](#) to the Support Coordinator.

A Monthly Summary is a narrative that describes what happened during the previous month to address the goal (Support Strategy).

Monthly summaries can be completed via, phone, email or a written note (including comments on time sheets). Summaries should be shared in a way that works for you and your support coordinator to document monthly services and outcomes.

- The person or representative shall complete a Monthly Summary of services for each month in which services are rendered and submit it to the Support Coordinator by the 15th of the month following the month of services.
  - (a) If the person does not provide this information to DSPD for a three month period, the fourth months' payment shall be withheld until the Monthly Summaries are submitted.
  - (b) If the person submits all required Monthly Summaries within fourth months, payment will be reinstated.
  - (c) If Monthly Summaries are not provided for the fifth month, then at the sixth month, DSPD will require the person to use a contracted Provider and not participate in Self-Administered Services.
- Receive review and sign timesheets with Employees and submit according to the Fiscal Agent's payroll schedule.
- Responsible for recruiting, screening, hiring, firing, and training Employees.
- Responsible for ensuring Employee's providing direct services have a cleared [background check](#). Background checks are to be completed *annually* for any Employee providing services.
- The Person's Representative shall notify the Support Coordinator if any of the following occurs:
  - (a) If the person moves; in moving from one area of Utah to another, DSPD services are retained. Moving out of Utah closes all DSPD services. A new application for DSPD services would be required and the person would be placed on the waiting list if they return to Utah after moving out of the state.
  - (b) If the person is in the hospital or nursing home; or
  - (c) Death of the person.

Ensure that all required paperwork is filled out by the Employee including:

- A Form 2-9C Employee Certification Complete all areas identified and indicate knowledge of Requirements for Certification by signing and dating each area completed
- A [Department Code of Conduct](#) and any [Division Code of Conduct](#)
- [W-4](#) Employee Withholding Allowance Certificate This form is used by fiscal agent to adjust Employee taxes for claimed exemptions.
- [I-9 Employee Eligibility Verification Form](#) (there are two sections that need to be completed by you and your employer). Include copies of 2 forms of ID. See reverse side of I-9 for the list of accepted documentation and further instructions.
- [Form 2-9EA Employee Employment Agreement](#) ; provided in the Fiscal Agent packet also available on the DSPD website.

## **Background Screening**

[Background Screening Application](#), also referred to as a Background Check is an initial and annual review of any individual providing direct care support to an individual in services.

The Employee's social security card and identification such as a current driver's license will need to be copied and attached to the back ground screening application. The employer will need to see the originals and keep a copy of the Employee's social security card and identification to fill out the I-9 form.

The Fiscal Agent will submit the forms for the background check and notify you when the back ground check is complete, and provide certification for your records.

A [Background screening tutorial is available](#) on the DSPD website. The link is provided in Section 4 Links.

The Background Screening application should be sent to the fiscal agent you have decided to work with.

### **ACUMEN Fiscal Agent**

PO BOX 539  
OREM UT 84059-0539  
888-221-7014

### **ASPIRE Human Services**

13923 Hay stack Peak Circle  
Riverton, UT 84096  
801-598-0743

### **LEONARD CONSULTING, LLC**

1059 E 900 S  
SLC UT 84105  
801-359-4699

### **MORNING STAR Financial Svc**

PO BOX 9323  
SLC UT 84109  
801-484-0787  
888-657-0874

## Incident Reporting

Ensure proper training is provided to staff regarding incident reporting.

Employees are required to know what types of incidents need to be reported, reporting timelines, and where incident report forms are located. It is required that the Employee or employer notify the Support Coordinator of any reportable incidents that occur while the person is in the care of the Employee within 24 hours of occurrence. An [Incident Report Form 1-8](#) MUST be completed within 5 business days of the incident and sent to the Support Coordinator. Initial notification may be in the form of a phone call, email, or fax. An Incident Report (1-8) is required during times of billable service if any of the following events should occur:

- Actual and suspected incidents of abuse, neglect (including self-neglect), exploitation, or maltreatment per the DHS/DSPD Code of Conduct and [Utah Code 62A-3-305](#) and [62A-4a-403](#) which requires you immediately notify DHS Adult Protective Services intake in cases involving an adult, Child Protective Services intake in cases involving a child or the nearest law enforcement agency Drug or alcohol abuse;
- Medication overdoses or errors reasonably requiring medical intervention;
- Instances in which the person receiving services is considered “missing” under any unexplained, involuntary or suspicious circumstance(s) and is believed to be in danger because of age, health, mental or physical disability, environment or weather, in the company of a potentially dangerous individual or some other factor placing the person in peril;
- Evidence of seizure in a person with no existing seizure diagnosis;
- Significant property destruction (\$500.00 or more)
- Instances of physical injury reasonably requiring a medical intervention;
- Instances of law enforcement involvement or charges filed surrounding a person;
- The person has an aspiration or choking incident that results in the administration of the Heimlich maneuver (e.g. stomach thrusts), emergency medical intervention, and/or hospitalization;
- All suicide attempts by the person (does not include threats of suicide);
- Human rights violations such as the unauthorized use of restraints – physical restraints, mechanical restraints, chemical restraints (medications), seclusion rooms or infringement on personal privacy rights that would otherwise require a rights restriction plan;
- An event that compromises the person’s working or living environment such as damage to the home (e.g. roof collapse) that requires evacuation and puts the person at risk;
- Death of the person;

- Instances of any institutional admittance(s) such as accommodation in a nursing home or a hospital; or
- Any other instances the person or person's representative determines should be reported.

## **Time Sheets**

The timesheet is an important document and provides internal controls that reduce misuse or fraud when used properly. It reflects the implementation of labor agreements and payroll obligations. A timesheet entry needs to be completed each time the Employee works. The time sheet should indicate the exact time (including a.m. and p.m.) the shift begins and ends. The Employee is required to make a brief comment on the timesheet of the service provided during the shift. The Employer may contact the Fiscal Agent with any questions concerning filling out a timesheet or using a Fiscal Agent on-line or telephone-based reporting system. Complete and correct information must be provided on the timesheet or the Employee will be asked to make necessary corrections, which may delay the Employee's payment.

Timesheets will be reviewed by both the Employer and the Fiscal Agent for correct billing information. The Fiscal Agent deducts taxes, and provides payment directly to Employees during normally scheduled payroll practices. Following a payroll, a person's SAS budget with the Fiscal Agent is updated and the SAS employer is provided a current and historical summary of payments and remaining budget. The Support Coordinator will not have access to the processed time sheets. Time sheets are sent directly from the Employer to the Fiscal Agent, which are then processed through the Fiscal Agent, and are not, in practice, redistributed to any other parties. It is the Employer's responsibility to share time sheet information with the Support Coordinator if the Employer finds it necessary, or the Support Coordinator requests it.

Follow the Utah Timesheet Instructions Below:

1. Enter Employee name (LAST NAME, FIRST NAME)
2. Enter Employee ID (Social Security Number or Fiscal Agent Employee number)
3. Enter the person receiving services' name (LAST NAME, FIRST NAME)
4. Enter the person's ID number (DSPD 0-nine digit number)
5. Enter the service date(s) - the date(s) that were worked (Month/Day/Year)
6. Enter the time work began and ended. Indicate a.m. or p.m. hours (12:00 noon is p.m. and 12:00 midnight is a.m.)
7. Enter the corresponding service code using the following letter codes as applicable:
  - CO1 - Companion
  - RP1 - Respite
  - RP6 - Respite
  - RP7 - Respite-Group
  - RP8 - Respite-Group (room and board)
  - TF1 - Family Training and Preparation
  - SL1 - Supported Living
  - HS1 - Homemaker Supports
  - CH1 - Chore Services
  - PA1 - Personal Assistance
  - DTP - Transportation /per mile
8. Enter comments regarding the services provided. This should be brief and related to the goal addressed in the [Support Strategy](#).
9. Ensure the Employee and the employer sign the time sheet. "Pre-signed" forms are not allowed. The employer may not "sign" for the Employee.
10. Enter dates by the signatures.

### **Time Line for Payroll**

The Employer may fax, mail, or electronically submit signed/approved timesheets to the Fiscal Agent by the deadline of the 1st and 16th of each month or as instructed by the Fiscal Agent.

Timesheets received on or before the 1st of the month will be paid on or before the 15th.

Timesheets received on or before the 16th of the month will be paid on or before the 30th. Variations in the payroll schedule may occur due to holiday and weekend dates. Refer to the Payroll Schedule provided by the Fiscal Agent. This schedule may be included in the Daily File.

The Employee must inform the Employer of any changes in contact information, such as address or name change, so the Fiscal Agent can be notified.

Payroll may NOT be processed by the Fiscal Agent without prior Support Coordinator approval if it is received more than 30 days following the month services were provided.

The Fiscal Agent receives time sheets, reimburses Employee's, and submits payment documentation to DSPD, which is processed on a weekly basis. Questions about payroll schedules and processes can be answered by your Fiscal Agent.

### **Service Specific Training for DTP (Daily Transportation Payment)**

Employees providing transportation must abide by the following guidelines.

- Persons are not to be left unattended in the vehicle.
- Persons must remain seated while the vehicle is in motion.
- Keys are removed from the vehicle at all times when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift.
- All persons in wheelchairs must use seat belts or locking mechanisms to immobilize wheelchairs during travel.
- Persons must be transported in safety restraint seats when required by Utah State law.
- Vehicles used for transporting persons must have working door locks, and that doors are locked at all times while the vehicle is moving.
- During an emergency, the Employee is responsible for the person until relief or help arrives.
- Driver must have current driver license and Employer/driver must have current vehicle insurance, license and inspections.
- Failure to serve the person under these terms may be cause for termination of this service.
- Per Title 41, Chapter 6a, Section 1803 the use of safety belts is required

### **Employee Rate Information**

To establish or change your Employee's rate of pay, turn in an Employee Rate Information Form. This form is included in the Fiscal Agent's packet.



## **Termination of Employment**

Termination of an Employee requires a Fiscal Agent Employee termination form be submitted to your Fiscal Agent in addition to the final timesheet.

Complete the appropriate section for the Employee Termination Form provided in the Fiscal Agent packet.

Blank forms of/for your fiscal agents are located at one of the following websites:

### **Acumen Fiscal Agent**

<https://www.acumenfiscalagent.com/>

### **ASPIRE Human Services**

(Website will be available shortly)

### **Leonard Consulting, ILC**

<http://leonardconsultingllc.com/>

### **Morning Star Financial Services**

<http://morningstarfs.com/>

## SAS Compliance Reviews

The Support Coordinator will annually review your file to ensure SAS compliance. Please ensure you have the appropriate documents available upon request. Below is a document check list which provides a list of the forms you will need to have in a file.

### Document Checklist

The table below lists the required documentation to participate in Self- Administered Services and identifies who receives copies of each document.

Documents Required	Employer File/Employee File	Fiscal Agent File	SC or Division File
Agent Authorization & 2678	✓	✓	
Employer FEIN SS-4	✓	✓ (collected)	
Employee Certification 2-9C	✓	✓ (SC to FA)	✓
Copy of Driver's License (For BCI, I-9 & if transporting)	✓	✓	✓
BCI (annually)	✓	✓ (new & annual)	✓ (denials)
Employment Agreement 2-9EA	✓	✓ (collected)	
I-9 Employee Verification	✓	✓	
W-4 Form Tax Withholding	✓	✓	
Person Centered Budget	✓		✓
Form 1056 Service Authorization	✓	✓	✓
Time Sheets with Comments	✓	✓	✓ (as requested)
Employee Code of Conduct (Dept. & Div. - annually)	✓		
Service Specific Training	✓		
Proof of Auto Insurance (if transporting)	✓		
Support Strategies	✓		✓
Emergency Contact & Incident Report Forms	✓		✓
Service Agreement 2-9SA	✓		✓
Person Centered Service Plan	✓		✓
Monthly Summaries	✓		✓

DSPD Revised Sept 2012

## Record Keeping

Daily File: A recording system for Employees to use each time that they work; this system is referred to in this support book as a “daily file.”

Items to include in a daily file:

- Blank [Incident Report Form](#) also referred to as a Form 1-8.
- Emergency Contact and Information Form  
*An emergency contact form is used to provide contact information in the case of an emergency. This can include but is not limited to: Current home phone number and address, pertinent health care information and parent or family contact information.*
- Current [Support Strategies](#)
- [Service Specific Training](#)
- Blank Timesheets
- Optional - Living will and or Do Not Resuscitate declaration

Employee File Information:

Maintain the following documents in a confidential Employee file

- Copy of auto insurance policy (if transporting)
- Copy of Employee’s driver’s license (if transporting)
- Copy of social security card
- Original W4
- Original I-9
- Signature sheet of the Code of Conduct (reviewed annually)
- Signed copy of the Employee Agreement
- Signed copy of Employee Certification
- Copies of Background Screening Applications submitted and any denial

## Section 3 Medicaid Waiver Services

### Administrative Rule and waiver services

Utah Administrative Rules governing the use and administration of Self-Administered Service is available on the [Utah Department of Administrative Services](#) website, or through the DSPD website, and can also be accessed through the link provided in Section 4 Links.

#### **Avoiding Fraud and the Misuse of Funds**

The use of Self-Administered Services, like all DSPD services, requires following all Medicaid Rules and Regulations. Misrepresentation of the use of Medicaid funds could result in the loss of the right to self-administration and may result in criminal action, imprisonment, and substantial fines and paybacks. Be a responsible employer by working closely with your Support Coordinator and Fiscal Agent, and follow the DSPD and Medicaid requirements. DSPD is required to account for all the funds disbursed. Examples of fraud and misuse of funds that may result in inspection of records, payback of funds and criminal actions include, but are not limited to:

- One Employee billing for more than one service at the same time
- More than one Employee billing for services at the same time
- Employers asking Employees to bill for hours not really worked or approving to pay for more hours than were actually worked
- Asking Employees to give kickbacks
- Approving payment for hours of work when the person was receiving services from another source (at school, in the hospital, etc.)
- Approving payment for hours of work when the Employee was unavailable to work (out of town, in jail, on vacation, away at school, etc.)

The examples listed above are all actual cases that have been investigated and in some cases prosecuted.

When an investigation finds employers have engaged in fraud and misuse of funds, funds paid must be paid back to the state by the family and/or Employee. In order to avoid payback make sure that:

- You compare timesheets from all Employees to make sure that the work times recorded do not conflict or overlap with other Employees' work times
- Your Employees record only one service during a time period (do not record multiple services at the same time)
- Your Employees have not recorded working on days or times when the person is not available to receive services
- Your Employees are not recording more hours on timesheets than actually worked
- Work times are billed as a one-on-one service (meaning one Employee to one person). The only exception to this is Group Respite services (RP7-RP8) that allows up to three people to be served at the same time.
- The same worker does not bill for multiple services during the same work times. Supported Living (SL1) includes: personal assistance (PA1), chore (CH1) and homemaker (HS1) services and routine transportation (DTP & MTP). Do not duplicate service hours and individually bill for DTP, CH1, HS1 or PA1 by the same worker.
- Pay rates are within the designated range for services listed in the Fiscal Agent Packet.
- The employer does not receive payment or take a portion of the Employee's pay.
- An Employee providing overnight services, working during typical hours of sleep, or providing transportation is at least 18 years of age.

Each month the Fiscal Agent (your payroll agency) and your Support Coordinator will review timesheets for accuracy and appropriate usage of services. You may be asked to clarify if the following situations are found:

- Unexpected high use of services occurs in one month. If a person's situation changes, contact your Support Coordinator and inform him/her of your needs and possible changes in your expected use of service before submitting timesheets. High use of services at the end of the plan year, unless justified and approved by your Support Coordinator.
- Billing for new Employees prior to notifying the Support Coordinator.

Each Support Coordinator must have a copy in their file of the Form 2-9C, the Employee's completed certification. You must inform both your Support Coordinator and Fiscal Agent of any staff changes.

### **Staff Limitation**

The following may not be employed to work for pay with a family member:

- Parents
- Step-Parents
- Guardians
- Spouses

Parents, Guardians, or step-parents shall not be paid to provide services to the person, nor shall an individual be paid to provide services to a spouse. No one who is appointed as the SAS Employer of Record may be paid to provide direct services for pay.

At-will Employee status applies to all SAS Employees. This allows the Employee or employer to terminate employment with or without notice for any reason, resulting in no disciplinary action or penalty, with the exception of abuse, neglect or exploitation (which must be reported to proper authorities by law).

## Section 4: SAS Forms and Links

### Employer Forms

#### **2-9SA Self-Administered Service Agreement**

##### **Community Supports Waiver**

[http://hspolicy.utah.gov/files/dspd/Forms/2.9-SA\(CSW\)%20%20Self-Administered%20Services%20Agreement%20-%20CSW.pdf](http://hspolicy.utah.gov/files/dspd/Forms/2.9-SA(CSW)%20%20Self-Administered%20Services%20Agreement%20-%20CSW.pdf)

##### **Acquired Brain Injury Waiver**

[http://hspolicy.utah.gov/files/dspd/Forms/2.9-SA\(ABI\)%20%20Self%20Administered%20Services%20Agreement%20-%20ABI.pdf](http://hspolicy.utah.gov/files/dspd/Forms/2.9-SA(ABI)%20%20Self%20Administered%20Services%20Agreement%20-%20ABI.pdf)

### Employee Forms

#### **Form 2-9C- Application for Certification**

##### **Community Supports Waiver**

<http://hspolicy.utah.gov/files/dspd/Forms/2-9C%20%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services.pdf>

##### **Acquired Brain Injury Waiver**

[http://hspolicy.utah.gov/files/dspd/Forms/2-9C\(B\)%20%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20\(ABI\).pdf](http://hspolicy.utah.gov/files/dspd/Forms/2-9C(B)%20%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20(ABI).pdf)

# General Self-Administered Service Forms

## Code of Conduct

### **Department Code of Conduct**

<http://www.dspd.utah.gov/docs/selfadministered/deptcodeofconduct.pdf>

### **Division Code of Conduct**

<http://hspolicy.utah.gov/files/dspd/Forms/5-3%20Code%20of%20Conduct%20Certification.pdf>

### **1-8 Incident Report Form**

<http://hspolicy.utah.gov/files/dspd/Forms/1-8%20Incident%20Report%20Form.pdf>

### **Background Screening Application**

<http://www.dspd.utah.gov/docs/BCF.pdf>

### **Background Screening Tutorial**

<http://www.dspd.utah.gov/docs/TUTORIAL%20BSA%20NEW%20BUILDING.ppt>

### **Support Strategies**

<http://www.dspd.utah.gov/docs/selfadministered/Support%20Strategies.pdf>

### **Monthly Summaries**

<http://www.dspd.utah.gov/docs/selfadministered/Monthly%20Summary.pdf>

### **Service Specific Training**

<http://www.dspd.utah.gov/docs/selfadministered/Service%20Specific%20Training.pdf>



**Notice of Termination of FMS Service**

<http://hspolicy.utah.gov/files/dspd/Forms/2.9-T%20%20Notice%20of%20Termination%20of%20FMS%20Services.pdf>

**Self-Administered Service Descriptions**

[http://www.dspd.utah.gov/service\\_descriptions3.htm](http://www.dspd.utah.gov/service_descriptions3.htm)

**Administrative Rule**

<http://www.rules.utah.gov/publicat/code/r539/r539.htm>

**DSPD Self-Administered Services Link**

<http://www.hsdspd.state.ut.us/selfadminmodel.htm>

**Fiscal Agent Links**

Acumen Fiscal Agent

<https://www.acumenfiscalagent.com/>

ASPIRE Human Services

<https://www.aspirehumanservices@gmail.com>

Leonard Consulting, LLC

<http://leonardconsultingllc.com/>

Morning Star Financial Services

<http://morningstarfs.com/>

**Fiscal Agent Forms**

W4: <http://www.irs.gov/pub/irs-pdf/fw4.pdf>

I-9: <http://www.uscis.gov/files/form/i-9.pdf>

2-9EA: <http://hspolicy.utah.gov/files/dspd/Forms/2.9-EA%20%20Self-Administered%20Services%20Employment%20Agreement.pdf>

# Additional Supports and Resources

## **Contracted Support Coordinator Contacts:**

[http://www.dspd.utah.gov/docs/sce\\_companies\\_contact.pdf](http://www.dspd.utah.gov/docs/sce_companies_contact.pdf)

## **EMPLOYER RESOURCES**

### **The Utah Caregiver Alliance**

[caregiveralliance.com](http://caregiveralliance.com)

Toll Free: (866)-404-9080

The Utah Caregiver Alliance has created an online resource registry to connect caregivers with qualified care providers and vendors, as well as networking caregivers with other caregivers. UCA is also helping families form cooperatives to pool resources and create services and supports, and to provide outreach and training to families to ensure success.

### **The Division of Workforce Services**

<http://jobs.utah.gov/>

Toll Free: (888)-920-9675

The Division of Workforce Services can assist you with posting your job listing on their site. You may be asked to provide your employer ID number that you have been given by your fiscal agent.

## **ADDITIONAL RESOURCES**

### **Utah Parent Center**

[www.utahparentcenter.org](http://www.utahparentcenter.org)

Phone: 801-272-1051

Toll-Free in Utah: 1-800-468-1160

Spanish: 801-272-1067

### **United Way 2-1-1**

[www.uw.org/211](http://www.uw.org/211)

**Utah Brain Injury Alliance**

[www.biau.org](http://www.biau.org)

Phone: 801-716-4993

Toll-Free: (800)-281-8442

Española: 801-716-4996

**Utah State Office of Rehabilitation**

<http://www.workabilityutah.org/work/usor.php>

Phone: 801- 538-7530

Toll free: (800) 473-7530

**Family to Family Network**

<http://utahfamilytofamilynetwork.org/contact.php>

Phone: 801- 272-1051

Toll-free in Utah: (800) 468-1160

# Frequently Asked Questions

**Q: When are background checks due?**

A: Background checks are completed on an annual basis, and upon hire through the [Back Ground Screening application](#) form. This form is processed by the Fiscal Agent and sent to the Department of Human Services, Office of Licensing. Employees can provide direct services while an initial background check is being processed for up to 30 days; however this can only be done under direct supervision of someone who possesses a cleared background check. The 30 day window is only applicable for initial hires, and is not applicable toward annual reviews. Individuals working with expired background screening checks will be denied payments. Therefore, the Fiscal Agent will remind the Employer to process a renewal approximately 45 days prior to the lapse date of the current background check.

**Q: How do I pick a support coordinator?**

A: Ask around and find out which Support Coordinator other individuals/families are using and how satisfied they are with the service they receive from the individual or company they have selected. If you know who you want for your Support Coordinator, contact that Support Coordinator and see if they are willing to set up an interview with you. Many of the current support coordination companies have multiple staff to choose from.

You can also get contact information for Support Coordinators on DSPD's website

([www.dspd.utah.gov](http://www.dspd.utah.gov)) or by calling DSPD at (801)538-4200

**Q: Can I change Support Coordinators?**

A: Any time you wish to change Support Coordinators, you have the right to select a new one. There are several ways this can be completed. You can contact DSPD via email to request an ISO (Invitation to Submit Offer) be sent out. You can do this by emailing to: [DSPD-ISO@utah.gov](mailto:DSPD-ISO@utah.gov) . Private Support Coordinators who are interested in becoming your SC will contact DSPD directly by responding to the ISO.

You can contact DSPD directly at (801) 538-4200 and ask to speak with technical assistance.

You can research Support Coordinators online and call companies directly. A list of contracted support coordinators can be accessed online. A link to those contacts is provided under Section 4 Additional Supports and Resources.

You will need to contact DSPD if you do change support coordinators. 10 day notification is required prior to changing services, and should be negotiated through DSPD to ensure timely provider payments.

DSPD can assist you in setting up interviews, or you can set up your own interviews independently by contacting potential candidates directly.

**Q: How do I pick a Fiscal Agent?**

A: There are currently four contracted Fiscal Agents to choose from when starting Self-Administered Services. You can call the listed Fiscal Agents and ask questions, as well as visit the website and research your options.

**Q: Can I change Fiscal Agents?**

A: Yes you can change Fiscal Agents at any time; however you will be required to provide notification to the Fiscal Agent to allow transition from one service provider to another. A [Notice of Termination](#) of FMS (Fiscal Agent) services is available online, and can be filled out and submitted by your Support Coordinator. Links to the Notice of Termination are listed under Section 4 General Self-Administered Service Forms.

**Q: How and where do I find Employees?**

A: Often the best Employees are family members or those you already know. You can network within your community to assess who you think might be a good fit for your family.

You can develop job postings online, or post hard copies in local college campuses.

You can also advertise at the Department of Workforce Services. Details are provided under Section 4 Additional Supports and Resources, Department of Workforce Services.

The Utah Caregiver Alliance has created an online resource registry to connect caregivers with qualified care providers and vendors, as well as networking caregivers with other caregivers. UCA is also helping families form cooperatives to pool resources and create services and supports, and to provide outreach and training to families to ensure success. Contact information is provided under Section 4 Additional Supports and Resources, Utah Caregiver Alliance

**Q: What is the difference between hourly rates, and daily rates?**

A: DSPD processes rates by quarter hour which translates into hourly rates. There are several different codes that are billed in either hourly (quarter hour) or daily rates. If direct services are being provided continuously over 6 hours you will need to bill a daily rate. Please discuss services thoroughly with your Support Coordinator.

The Division of Services for People with Disabilities aims to provide services to people with disabilities in the least restrictive manner possible. Self-Administered Services allow people to live in the community and take control of their own lives. For more information on SAS or other offered services, contact DSPD.

Address:  
195 North 1950 West  
Salt Lake City, Utah 84116

Phone: (801) 538-4200  
Fax: (801) 538-4279  
TTY: (801) 538-4192  
Toll Free: 1-800-837-6811

Email: [dspd@utah.gov](mailto:dspd@utah.gov)

Web: [www.dspd.utah.gov](http://www.dspd.utah.gov)